

Please type a plus sign (+) inside this box ->

01-07-00
PTO/SB/05 (4/98)

09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

00/90/TO
U.S. PTO

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional application under 37 C.F.R. § 1.53(b))

Attorney Docket No. 97-1804

First Inventor or Application Identifier C. A. RANDALL

Title FABRICATION OF PARTICULATE TAPES BY
ELECTROPHORETIC DEPOSITION

Express Mail Label No. EK311844788US

A
PTO
01/06/00
C53
09/470702
01/06/00

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

1. * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)

2. Specification [Total Pages 29]
(preferred arrangement set forth below)

- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

Drawing(s) (35 U.S.C. 113) [Total Sheets 5]

Oath or Declaration [Total Sheets 2]

a. Unexecuted copy

b. Copy from a prior application (37 C.F.R. §1.63(d))
(for continuation/divisional with Box 16 completed)

- i. DELETION OF INVENTOR(S)
Signed statement attached deleting
inventor(s) named in the prior application,
see 37 C.F.R. §§1.63(d)(2) and 1.33(b)

ADDRESS TO

Assistant Commissioner for Patents
Box Patent Application
Washington DC 20231

5. Microfiche Computer Program (Appendix)

6. Nucleotide and/or Amino Acid Sequence submission
(if applicable, all necessary)

- a. Computer Readable Copy
- b. Paper Copy (identical to computer copy)
- c. Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. Assignment Papers (cover sheet & document(s))

8. 37 C.F.R. §3.73(b) Statement
(when there is an assignee) Power of Attorney

9. English Translation Document (if applicable)

10. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations

11. Preliminary Amendment

12. Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)

* Small Entity Statement filed in prior application,
(PTO/SB/09-12) Status still proper and desired

13. Statement(s) Certified Copy of Priority Document(s)
(if foreign priority is claimed)

14. Other:

* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. §1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. §1.28)

If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below in a preliminary amendment

Claiming priority to

of prior application No.: 60/115,075 filed on 01/07/99

Continuation Divisional Continuation-in-part

Prior application information:

Examiner _____

Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label or Correspondence address below
(Insert Customer No. or Attach Bar code label here)

Name Thomas J. Monahan
Intellectual Property Office

Address The Pennsylvania State University
113 Technology Center

City University Park State PA Zip Code 16802-7000

Country United States Telephone (814) 865-6279 Fax (814) 865-3591

Name (Print / Type) Thomas J. Monahan

Registration No. (Attorney/Agent)

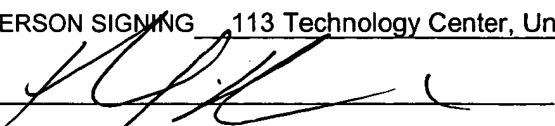
29,835

Signature

Date: 01/06/00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SENT TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) & 1.27(d))--NONPROFIT ORGANIZATION	Docket Number (Optional) 97-1804
<p>Applicant, Patentee, or Identifier: <u>C. A. RANDALL, et al.</u></p> <p>Application or Patent No.: _____</p> <p>Filed or Issued: <u>January 06, 2000</u></p> <p>Title: FABRICATION OF PARTICULATE TAPES BY ELECTROPHORETIC DEPOSITION</p>	
<p>I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:</p> <p>NAME OF NONPROFIT ORGANIZATION <u>The Penn State Research Foundation</u></p> <p>ADDRESS OF NONPROFIT ORGANIZATION <u>304 Old Main</u> <u>University Park, PA 16802</u></p>	
<p>TYPE OF NONPROFIT ORGANIZATION:</p> <p><input type="checkbox"/> UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION</p> <p><input checked="" type="checkbox"/> TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))</p> <p><input type="checkbox"/> NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE _____) (CITATION OF STATUTE _____)</p> <p><input type="checkbox"/> WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA</p> <p><input type="checkbox"/> WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA (NAME OF STATE _____) (CITATION OF STATUTE _____)</p>	
<p>I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:</p> <p><input checked="" type="checkbox"/> the specification filed herewith with title as listed above. <input type="checkbox"/> the application identified above. <input type="checkbox"/> the patent identified above.</p>	
<p>I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).</p>	
<p>Each person, concern, or organization having any rights in the invention is listed below:</p> <p><input type="checkbox"/> no such person, concern, or organization exists. <input type="checkbox"/> each such person, concern, or organization is listed below.</p>	
<p>I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))</p>	
<p>NAME OF PERSON SIGNING <u>Thomas J. Monahan (Reg. No. 29,835)</u></p>	
<p>TITLE IN ORGANIZATION OF PERSON SIGNING <u>Director, Intellectual Property Office</u></p>	
<p>ADDRESS OF PERSON SIGNING <u>113 Technology Center, University Park, PA 16802-7000</u></p>	
<p>SIGNATURE </p>	
<p>DATE <u>January 06, 2000</u></p>	

Practitioner's Docket No.: 97-1804

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: C. A. RANDALL, et al.

Serial No.: _____ Group No.: _____

Filed: 01/06/2000 Examiner: _____

For: FABRICATION OF PARTICULATE TAPES BY ELECTROPHORETIC
DEPOSITION

Assistant Commissioner for Patents
Washington D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number: EK311844788US

Date of Deposit: January 06, 2000

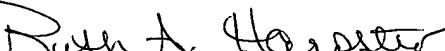
I hereby state that the following *attached* paper or fee:

- 1 Fee Transmittal Form (in duplicate)
- 1 Utility Patent Application
- 1 Small Entity Statement
- 29 pages of Specifications
- 5 Sheets of Drawings
- 1 unexecuted Declaration
- 1 Information Disclosure Statement
- 16 examples of Prior Art
- 1 Return Receipt Postcard

Is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10, on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Ruth A. Harpster

Typed or printed name of person mailing paper or fee



Signature of person mailing paper or fee

NOTE: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail". Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings, it is suggested that the label number be placed on the back of each formal drawing or the drawings be accompanied by a set of informal drawings on which the label is placed.

(Express Mail Certificate [8-3])

FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 1997. Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.

Complete if Known

Application Number	
Filing Date	01/06/00
First Named Inventor	C. A. RANDALL
Examiner Name	
Group / Art Unit	

TOTAL AMOUNT OF PAYMENT (\$)

444.00
Attorney Docket No.
97-1804
METHOD OF PAYMENT (check one)

The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account No. **16-1133**

Deposit Account Name

Charge Any Additional Fee Required Under 37 C.F.R. §§ 1.16 and 1.17 Charge the Issue Fee Set in 37 C.F.R. § 1.18 at the Mailing of the Notice of Allowance

Payment Enclosed

Check Money Order Other

FEE CALCULATION
1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	690	201	345	Utility filing fee	345.00
106	310	206	155	Design filing fee	
107	480	207	240	Plant filing fee	
108	690	208	345	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1)				(\$) 345.00	

2. EXTRA CLAIM FEES

	Extra Claims		Fee from below	Fee Paid
Total Claims	31	-20** =	11	× 9 = 99.00
Independent Claims	3	- 3 ** =	0	× 0 = 0.00
Multiple Dependent			0	= 0.00

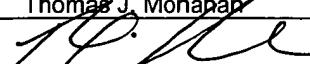
**or number previously paid, if greater; For Reissues, see below

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	260	204	130	Multiple dependent claim, if not paid
109	78	209	39	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)				(\$) 99.00

FEE CALCULATION (continued)
3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge – late filing fee or oath	
127	50	227	25	Surcharge – late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	380	216	190	Extension for reply within second month	
117	870	217	435	Extension for reply within third month	
118	1,360	218	680	Extension for reply within fourth month	
128	1,850	228	925	Extension for reply within fifth month	
119	300	219	150	Notice of Appeal	
120	300	220	150	Filing a brief in support of an appeal	
121	260	221	130	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive – unavoidable	
141	1,210	241	605	Petition to revive – unintentional	
142	1,210	242	605	Utility issue fee (or reissue)	
143	430	243	215	Design issue fee	
144	580	244	290	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional application	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	760	246	380	Filing a submission after final rejection (37 CFR 1.129(a))	
149	760	249	380	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify) _____					
Other fee (specify) _____					
* Reduced by Basic Filing Fee Paid				SUBTOTAL (3)	(\$) 0.00

SUBMITTED BY

Typed or Printed Name	Thomas J. Monahan	Complete (if applicable)
Signature		Reg. Number 29,835

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.